

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE  
(REV. 12-2004)

ATTORNEY'S DOCKET NUMBER

268417US2PCT

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

**10/529288**INTERNATIONAL APPLICATION NO.  
PCT/JP03/16001INTERNATIONAL FILING DATE  
12 December 2003PRIORITY DATE CLAIMED  
12 December 2002 (earliest)

## TITLE OF INVENTION

**SOUND GENERATION METHOD, COMPUTER-READABLE STORAGE MEDIUM, STAND-ALONE SOUND GENERATION  
AND PLAYBACK APPARATUS, AND NETWORK-COMMUNICATIVE SOUND GENERATION AND PLAYBACK SYSTEM**

APPLICANT(S) FOR DO/EO/US

Hidenori ITO, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).


## Items 13 to 23 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☐ Express Mail Label No.
23. ☒ Other items or information:

Application Data Sheet/Notice of Priority/Drawings (29 Sheets)/PCT/IB/304/PCT/IB/308/PTO-1449

Cited References (8)/Statement of Relevancy/Letter Regarding Small Entity Status

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

|  |              |  |            |   |            |
|--|--------------|--|------------|---|------------|
| U.S. APPLICATION NO. (if known, see 37 CFR 3.5)<br><b>107529288</b>  |              | INTERNATIONAL APPLICATION NO.<br><b>PCT/JP03/16001</b>                 |            | ATTORNEY'S DOCKET NUMBER<br><b>268417US2PCT</b>   |            |
| 24. The following fees are submitted:  |              |  |            | Applicant use   | Office use |
| <input checked="" type="checkbox"/> a) Basic national fee .....  |              | \$300.00   |            | \$  | \$300.00   |
| <input checked="" type="checkbox"/> b) Examination fee .....   |              | \$200.00   |            | \$  | \$200.00   |
| <input checked="" type="checkbox"/> c) Search fee .....  |              | \$500.00   |            | \$  | \$400.00   |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>   |              |  |            | \$  | \$900.00   |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.   |              |  |            |   |            |
| Total Sheets   | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole) | RATE       |   |            |
| - 100 =  | /50 =        |  | x \$250.00 | \$  | \$0.00     |
| Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)).  |              |  |            | \$  |            |
| CLAIMS   | NUMBER FILED | NUMBER EXTRA   | RATE       |   |            |
| Total claims   | 59 - 20 =    | 39   | x \$50.00  | \$  | \$1,950.00 |
| Independent claims   | 4 - 3 =      | 1  | x \$200.00 | \$  | \$200.00   |
| MULTIPLE DEPENDENT CLAIMS (if applicable) <input checked="" type="checkbox"/> + \$360.00   |              |  |            | \$  | \$360.00   |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>   |              |  |            | \$  | \$3,410.00 |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.  |              |  |            | \$  | \$1,705.00 |
| <b>SUBTOTAL =</b>  |              |  |            | \$  | \$1,705.00 |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).  |              |  |            | \$  | \$0.00     |
| <b>TOTAL NATIONAL FEE =</b>  |              |  |            | \$  | \$1,705.00 |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +  |              |  |            | \$  | \$0.00     |
| <b>TOTAL FEES ENCLOSED =</b>   |              |  |            | \$  | \$1,705.00 |
| Amount to be refunded:   |              |  |            |   | \$         |
| Amount to be charged:  |              |  |            |   | \$         |
| a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.<br>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is _____<br>c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <b>15-0030</b> . A duplicate copy of this sheet is enclosed.<br>d. <input checked="" type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. |              |  |            |   |            |
| NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.   |              |  |            |   |            |
| SEND ALL CORRESPONDENCE TO:  |              |  |            | <br>SIGNATURE<br><b>Marvin J. Spivak</b><br>NAME <b>Corwin P. Umbach, Ph.D.</b><br><b>24,913 Registration No. 40,211</b><br>REGISTRATION NUMBER |            |
| CUSTOMER NUMBER<br>22850   |              |  |            |   |            |

DOCKET NO.: 268417US2PCT

10/529288  
JC17 Rec'd PCT/PTO 25 MAR 2005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Hidenori ITO, et al.

SERIAL NO.: New U.S. PCT Application based on PCT/JP03/16001

FILED: Herewith

FOR: SOUND GENERATION METHOD, COMPUTER-READABLE STORAGE  
MEDIUM, STAND-ALONE SOUND GENERATION AND PLAYBACK  
APPARATUS, AND NETWORK-COMMUNICATIVE SOUND GENERATION  
AND PLAYBACK SYSTEM

**REQUEST FOR SMALL ENTITY STATUS**

This application qualifies for small entity status.

Respectfully Submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

Date: March 25, 2005

Corwin Paul Umbach  
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